Nine steps for developing a scaling-up strategy

World Health Organization

EXPANDNET

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Foreword

Scaling up is attracting a great deal of attention in the international health and development fields. Interest in this topic stems from the widespread concern that the visions implied in the Millennium Development Goals, the Platform for Action of the International Conference of Population and Development and other international summits are not being achieved as fast and effectively as intended. Current efforts need to be multiplied to meet the challenges of the 21st century. It is therefore not surprising that numerous efforts are underway to address the need for scaling up. One such initiative was the formation of ExpandNet, a global network that seeks to promote equitable access to quality care by ensuring the benefits of successful health interventions are expanded to reach more people, more quickly and more sustainably. The network's activities include the development of tools, advocacy, technical assistance, networking and research (www.expandnet.net).

ExpandNet's work on scaling up grows out of the development and testing of the World Health Organization's (WHO's) Strategic Approach to Strengthening Reproductive Health Policies and Programmes *(1, 2)*. The Strategic Approach is a three-stage process that countries can use to identify and prioritize their needs for reproductive health policy and programme development, test appropriate interventions to address priority needs and scale up successful initiatives. The approach is based on the understanding that scaling up rarely occurs automatically as is often assumed. It requires focused attention, strategic planning and management as well as resource allocation. The Strategic Approach promotes the idea that a focus on scaling up is required when assessing needs and priorities as well as in designing pilot interventions.

When the first action research projects resulting from the Strategic Approach proved successful and reached the stage of scaling up, the individuals involved sought guidance from a variety of literatures and international experiences. Three meetings at the Rockefeller Foundation Bellagio Conference Center between 2001 and 2004 brought the participants in this process together to explore key themes raised in the literature and country experiences, to review a conceptual framework and to work on a book of case studies on scaling up *(3)*. Since that time the book, as well as a practical guidance document on scaling up *(4)* have been published, and other resources completed or initiated. ExpandNet has convened several other international meetings, and ExpandNet members have assisted country projects with the development of scaling-up strategies in Asia, Africa and Latin America.

The present guide is one of the ExpandNet resource materials that have been developed over the past several years. Its main purpose is to facilitate systematic planning for scaling up. It is intended for programme managers, researchers and technical support agencies who are seeking to scale up health service innovations that have been tested in pilot projects or other field tests and proven successful.

Acknowledgements

Acronyms and abbreviations

IEC   Information, education and communication

MTEF   Medium-term expenditure framework

NGO   Nongovernmental organization

PRSP   Poverty Reduction Strategy Papers

RHR   Department of Reproductive Health and Research

SWAP   Sector-wide approach

WHO   World Health Organization

Nine steps for developing a scaling-up strategy

The Challenge

Introduction

The purpose of this document is to outline a concise, step-by-step process for developing a scaling-up strategy. The rationale behind such an undertaking is twofold. First, strategic planning for the expansion and institutionalization of successfully tested health systems innovations is essential, but often does not happen. As a result, effective new practices and products remain underutilized. It is hoped that the availability of this guide will encourage broader attention to systematic planning once pilot innovations have been successfully tested.

Second, even when there is interest among programme managers and others in engaging in a systematic planning process, the experience, know-how and resources for doing so are often lacking. As a consequence planning remains ad hoc and is often limited to statements about broad goals and the extent of scaling up that is to be accomplished. Such expectations tend to be unrealistic unless they take into account the nature of the innovation, the capacity of the implementing organizations, the characteristics of the larger environment within which scaling up takes place and the resources available to support the process.

Attention to scaling up requires systematic planning of how pilot-tested innovations can be implemented on a larger scale and achieve broad impact. Typically innovations are tested in pilot projects with special organizational, financial and human resources, which will not be available when innovations are being taken to scale. As a consequence, programme managers responsible for leading the process of "rolling out" the innovation to a sub-national or national level are faced with an enormous challenge: they have to implement the innovation on a large scale with few resources and in health systems that may be characterized by weak capacities and multiple, pressing priorities. Under such circumstances, success with scaling up calls for a careful balancing act between desired outcomes and practical realities and constraints. It also requires a planning process that is consistent with building national health systems' capacities rather than imposing additional burdens on fragile public sector systems. This document provides guidance for such systematic strategy development.

It should be kept in mind, however, that *developing* a strategy is only the beginning. Strategic thinking needs to continue throughout the process of implementation, requiring ongoing attention to the multiple factors that affect scaling up, as well as adjustments to the strategy whenever necessary. A scaling-up strategy, once developed, is not something that should be rigorously adhered to. Parts of it can quickly become obsolete as circumstances change, or because some factors were not adequately considered in the planning process. However, the initial plan can provide the foundation for the necessary adjustments that have to be made as scaling up proceeds.

Scaling up defined

The term scaling up is used today in a variety of ways. In some discussions it refers broadly to "doing more", as for example in, "scaling up treatment for HIV/AIDS" *(5)*. ExpandNet defines scaling up more specifically as:

> **deliberate efforts to increase the impact of successfully tested health innovations so as to benefit more people and to foster policy and programme development on a lasting basis.**

"Innovation" refers to service components, other practices or products that are **new or perceived as new.** Typically the innovation consists of a "**set of interventions**" including not only a new technology, clinical practice, educational component or community initiative, but also the managerial processes necessary for successful implementation.

"Successfully tested" highlights that the interventions to be expanded **are backed by locally generated evidence** of programme effectiveness and feasibility obtained either through pilot, demonstration or experimental projects or through initial introduction in a limited number of local sites.

"Deliberate efforts" mark scaling up as a **guided process**, in contrast to the spontaneous diffusion of innovations.

"Policy and programme development on a lasting basis" points to the importance of **institutional capacity-building and sustainability**.

ExpandNet/WHO resources to support scaling up

Nine steps for developing a scaling-up strategy is part of a set of ExpandNet materials which document what has been learned about scaling up successful pilot innovations and provide systematic guidance on how to plan and manage the process. ExpandNet resource materials include the following documents:

1. *Scaling up health service delivery: from pilot innovations to policies and programmes (3).* This book describes the ExpandNet/WHO conceptual framework for scaling up and presents case studies from Africa, Asia and Latin America with key lessons about what determines scaling-up success. Lessons from these case studies contributed substantially to the development of the subsequent ExpandNet guidance materials.

2. *20 questions for developing a scaling-up case study (6).* This guide was developed because documenting and analysing the scaling-up process is not easy, and it was hoped that a set of analytic questions would facilitate the task for programme managers and others interested in documenting their scaling-up experiences.

3. *Practical guidance for scaling up health service innovations (4).* This document presents a comprehensive, in-depth overview of scaling up and is intended for policy-makers, programme managers, researchers and technical assistance professionals. It covers the elements and strategic choices of the ExpandNet/WHO scaling-up framework in greater detail than the other guides and provides specific examples from country experiences with scaling up reproductive health and primary health care interventions.

4.   *Beginning with the end in mind: planning pilot projects and other programmatic research for successful scaling up (7).* This guide focuses on how to design pilot projects or other field tests in ways that maximize their potential for expansion and institutionalization if proven successful. The document outlines a process for including considerations about scaling up into project design and also contains a simple checklist for assessing the scalability of a proposed project.

5.   *Nine steps for developing a scaling-up strategy.* This current guide outlines a systematic approach for institutionalizing and expanding innovations that were successfully tested in pilot projects or other field tests.

6.   *Worksheets for developing a scaling-up strategy (8).* This workbook is to be used as a companion to the current guide. It provides a more detailed set of questions for the strategic planning process than are provided here. These worksheets are particularly useful for those who facilitate the strategy development process.

7.   *A field-based and participatory approach to supporting the development of scaling-up strategies (9).* This brief document provides a description of the participatory and field-based approach ExpandNet/WHO has used in helping country programme managers use the current guide and the worksheets in developing a scaling-up strategy. The document will be useful for readers of the current guide who would like to see how it and the worksheets have been used in the process of providing technical assistance, as well as lessons that have emerged from these experiences.

All of the above documents are available on the ExpandNet web site—www.expandnet.net–(see "our tools"), which also contains a comprehensive bibliography on relevant literature; multimedia presentations and information about ExpandNet's goals, history, members and their projects. *Scaling up health service delivery: from pilot innovations to policies and programmes (3), Practical guidance for scaling up health service innovations (4)* and the current guide are also available on the WHO/RHR web site—http://www.who.int/reproductivehealth/publications/strategic_approach/en/index.html

How to use this guide

This guide is intended for programme managers and others who plan to scale up successfully tested interventions, but it can also be useful in conducting a review of how scaling up is progressing when already underway. Ideally the interventions to be scaled up have resulted from a process of identification of needs and priorities for programme development and an analysis of how these priorities could best be addressed through policy and programmatic change. The guide assumes that the feasibility and effectiveness of these interventions have been tested in the local or national programme context and found to be appropriate and successful in achieving their goals and objectives. It is at this point in the scaling-up process that this guide is to be used in assisting programme managers and others to expand and institutionalize the interventions so that more people will benefit on a lasting basis.

Readers who are interested in a more detailed and comprehensive discussion of scaling up should consult the more in-depth document *Practical guidance for scaling up health service innovations (4).*

The nine-step process outlined in this document is applicable to governmental, NGO and private organizations. The guide grew out of experience in the field of public health, but can also be applied to other areas of development. Scaling up is predominantly an organizational, managerial, political and capacity-building task, the principles of which are similar across multiple areas of application.

There is great advantage in going through the nine-step exercise with a team that includes important stakeholders. Broad participation enables a wider range of relevant factors to be considered than when a smaller management team goes through the exercise. Broad participation also builds consensus and political commitment for future implementation. However, this guide can also be used by an individual project manager or the small management team that shares a common view of what is to be accomplished.

ExpandNet members have used this guide and the worksheets in a process that includes field visits by a team of ExpandNet facilitators, project coordinators and national-level programme managers. During these visits the team conducts discussions related to the potential for scaling up with those who have implemented the pilot and with actual or potential clients, community leaders or programme administrators. Such field visits help orient the team to the realities of the field and prepare for the subsequent stakeholder workshop, which proceeds through the exercise outlined in this document. For further discussion of this process see *ExpandeNet's approach for assisting countries to develop scaling-up strategies (9)*, mentioned above.

The use of facilitators in the process of strategy development is highly encouraged. Strategically planning for scaling up is different from the planning processes with which most programme managers are familiar because it addresses a broader range of issues. It works best with intensive facilitation and subsequent mentoring.

Content of the guide

The next section introduces the ExpandNet/WHO framework, which conceptualizes scaling up as a system with interrelated elements and strategic choices that have to be made, and outlines four guiding principles for the process. The framework provides the foundation for the next sections which are organized around the nine steps involved in designing a scaling-up strategy. Each step illustrates the type of questions which lead the team to specify recommended actions that become the building blocks of the scaling-up strategy. Step 9 pulls together these recommendations and finalizes the strategy using principles of strategic management. The final section of the guide provides concluding comments.

A conceptual framework for scaling up

The framework depicted in Figure 1 provides a way of systematically thinking about scaling up, which will be applied throughout this guide. It consists of five elements inside the oval with the scaling-up strategy as the centrepiece and five strategic choice areas (the boxes outside the oval). The framework is guided by four key principles which are: systems thinking; a focus on sustainability; the need to determine scalability; and respect for gender, equity and human rights principles.

Figure 1. The ExpandNet/WHO framework for scaling up
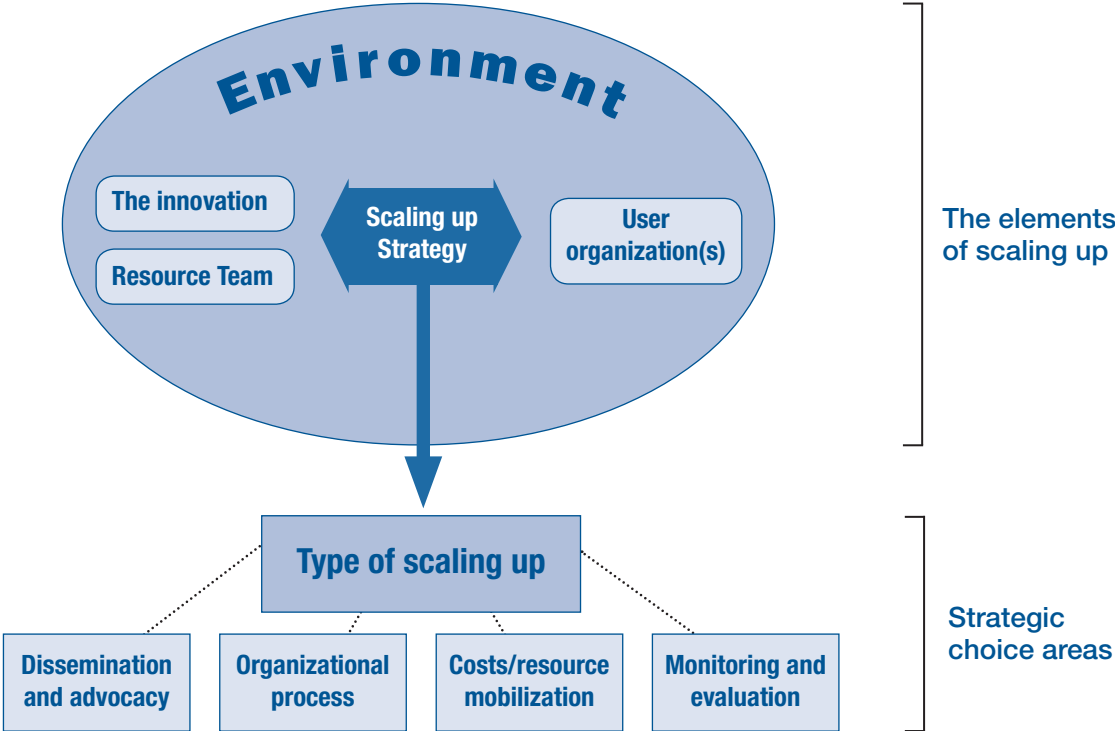
Table A defines each of the elements represented inside the oval and provides examples.

Table A. The elements of scaling up

The elements	Examples
The innovation	
The innovation refers to health interventions and/or other practices that are being scaled up. The innovation is a package of interventions, often consisting of several components. New technologies and the means to provide them, as well as changes in the approach to health service delivery or community interventions are considered the innovation.	- strengthening service quality - introducing a new technology or removing an outdated one - introducing or improving community-based interventions - adding services for underserved populations - introducing new service delivery protocols, training curricula and educational approaches - task shifting - introducing human rights or gender perspectives into service delivery - financial, organizational or managerial restructuring and other capacity-building interventions.

Continued

The elements	Examples
User organization(s)	
The user organization(s) refers to the institution(s) or organization(s) that seek to or are expected to adopt and implement the innovation on a large scale.	- the ministry of health, education or social welfare etc. - several ministries working together - NGOs or other community-based organizations - a network of private providers - a combination of such institutions.
Environment	
The environment refers to the conditions and institutions which are external to the user organization but fundamentally affect the prospects for scaling up.	- policies and politics - the bureaucracy - the health and other sectors - other relevant institutions - socio-economic and cultural conditions - people's needs, perspectives and rights.
Resource team	
The resource team refers to the individuals and organizations that seek to promote and facilitate wider use of the innovation. A resource team may be formally charged with promoting the innovation or may act informally in this role.	- researchers - technical experts - programme managers - trainers/educators - service providers - policy-makers from relevant ministries - representatives of other governmental organizations - representatives of national and international NGOs or private-sector institutions.
Scaling-up strategy	
The scaling-up strategy refers to the plans and actions necessary to fully establish the innovation in policies, programmes and service delivery.	Analysis of the elements above produces recommendations such as: - simplify the innovation so as to improve ease of transfer to the user organization(s) - build training capacity in the user organization(s) - link to health sector reform - work with religious or political leaders to gain acceptance for the innovation - plan to address human resource shortages. In addition a scaling-up strategy should contain recommendations about strategic choices related to: - the type of scaling up - dissemination and advocacy - the organizational process - costs and resource mobilization - monitoring and evaluation.

Examples of issues to be considered concerning each of the strategic choice areas are presented in Table B.

Table B. Strategic choices in developing a scaling-up strategy

Strategic choice areas	Examples
Type of scaling up	- vertical scaling up—institutionalization through policy, political, legal, budgetary or other health systems change - horizontal scaling up—expansion/replication - diversification - spontaneous scaling up.
For each of the above types of scaling up, choices will have to be made about the following:	
Dissemination and advocacy	*personal*: training, technical assistance, policy dialogues, cultivating champions and gatekeepers *impersonal*: web sites, publications, policy briefs, toolkits.
Organizational process	- scope of scaling up (extent of geographic expansion and levels within the health system) - pace of scaling up (gradual or rapid) - number of agencies involved - centralized or decentralized - adaptive or fixed process - participatory or donor/expert-driven.
Costs/resource mobilization	- assessing costs - linking scaling up to macro-level funding mechanisms - ensuring adequate budgetary allocation.
Monitoring and evaluation	- special indicators to assess the process, outcome and impact of scaling up - service statistics - special studies - local assessments - environmental analysis.

The first four elements of scaling up and the strategic choices will be systematically analysed in the process of formulating a scaling-up strategy, which consists of the nine steps outlined in Table C.

Table C. The nine steps for developing a scaling-up strategy

Step 1. Planning actions to increase the scalability of the innovation

Step 2. Increasing the capacity of the user organization to implement scaling-up

Step 3. Assessing the environment and planning actions to increase the potential for scaling-up success

Step 4. Increasing the capacity of the resource team to support scaling up

Step 5. Making strategic choices to support vertical scaling up (institutionalization)

Step 6. Making strategic choices to support horizontal scaling up (expansion/replication)

Step 7. Determining the role of diversification

Step 8. Planning actions to address spontaneous scaling up

Step 9. Finalizing the scaling-up strategy and identifying next steps

In moving through the nine-step process, the following four key principles should guide all aspects of analysis, planning and decision making:

1. **Systems thinking:** Systems thinking means being aware that the expansion and institutionalization of innovations occurs in a complex network of interactions and influences, which should be taken into account in order to ensure scaling-up success. In the ExpandNet framework, systems thinking refers especially to the interrelationships between the innovation, the user organization, the resource team and the larger environment within which scaling up takes place. Change in one element affects the others. Striving for an appropriate relationship or balance among these elements is a major task in designing and implementing a scaling-up strategy.

2. **A focus on sustainability:** Scaling up must be concerned with sustainable policy and programme development including attention to institutionalizing the innovation in policies, programme guidelines, budgets and other dimensions of the health system and to the roll out of innovations to new areas (Steps 5 and 6 of the nine-step process).

3. **Enhancing scalability:** Assessing and enhancing scalability is part of the process of strategic planning. Scalability refers to the ease or difficulty of scaling up the innovation, based on the attributes (or determinants) of success which have previously been identified in research on the diffusion of innovation and through practical experience *(10)*.

4. **Respect for human rights, equity and gender perspectives:** Scaling up should be grounded in the values of human rights and guided by participatory and client-centred approaches. It should ensure attention to human dignity, the needs and rights of vulnerable groups and gender perspectives as well as promote equitable access for all to quality services.

Step 1. Planning actions to increase the scalability of the innovation
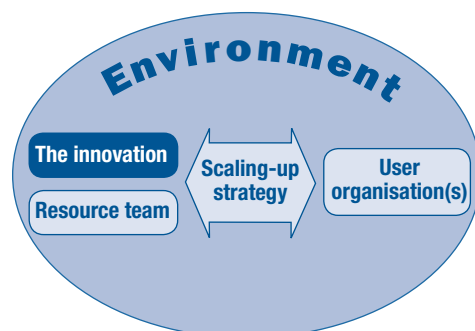
The innovation refers to health interventions and/or other practices that are being scaled up.

ExpandNet and this guide use the concept of innovation because the practices that have been tested are new in the local setting where they are being introduced. The innovation can consist of adding a technology, a product or a practice (e.g. using distance learning approaches), substituting one for the other (e.g. magnesium-sulfate rather than diazepam for treating eclampsia) or removing outdated technologies. The term innovation is used as shorthand for what typically is a package of interventions.

Ideally, a scaling-up strategy is based on an innovation that has been tested and found to be successful in the type of setting where it is to be expanded. Moreover it is highly desirable that considerations related to the eventual scaling up are kept in mind when the innovation is initially designed *(7)*. However, this guide is also relevant for situations where these two ideal conditions are not met.

◆ Begin by clarifying what is the innovation

Be clear about what is to be scaled up: identify what the innovation is and list all components. This should include both hardware components such as technologies and products, as well as software components such as training, supervision and other managerial interventions. Asking, "What were the activities necessary to put the innovation into place?" helps identify all relevant components of the innovation.

This guide was written from the perspective of a single pilot project or field test which explores the components of one major innovation. The steps outlined here can, however, also be useful for programme managers or policy-makers who are confronted with having to make choices among innovations resulting from several pilots or field tests. In such a case the strategy development team needs to complete the nine steps for each of the piloted innovations. A comparison of the strategies that would be needed to scale up each innovation would then reveal which have good scaling-up potential and thus lead to clear choices about which to pursue. Alternatively such analysis may also lead to combining some of the innovations that were tested in different pilots.

◆ Assess the attributes that determine the scalability of the innovation and identify needed actions

Innovations with the "CORRECT" attributes listed below are most likely to be successfully expanded/ scaled up, as confirmed by decades of work on the diffusion of innovation and documentation of international experience with scaling up *(10)*.

- **Credible** in that they are based on sound evidence and/or advocated by respected persons or institutions
- **Observable** to ensure that potential users can see the results in practice
- **Relevant** for addressing persistent or sharply felt problems
- **Relative advantage** over existing practices so that potential users are convinced the costs of implementation are warranted by the benefits
- **Easy to install and understand** rather than complex and complicated
- **Compatible** with the potential users' established values, norms and facilities; fit well into the practices of the national programme
- **Testable** so that potential users can see the intervention on a small scale prior to large-scale adoption.

Table 1.1 illustrates key questions that should be answered for each of the attributes. The third column states what actions might be needed to enhance the chances that the innovation can be scaled up. The recommended actions will be the building blocks of the scaling-up strategy. The questions and recommended actions listed are illustrative. Many other detailed questions related to the CORRECT attributes can be found in the worksheets *(8)*.

Table 1.1. Illustration of questions and recommended actions related to the scalability of the innovation

Attribute	Key questions	If necessary, find ways to:
Credibility	1. Have results of pilot testing the innovation been documented? 2. How sound is the evidence? 3. Is further evidence/better documentation needed? 4. Has the innovation been tested in the type of setting where it will be scaled up?	Document results in clear and concise ways that can be readily shared with key stakeholders. Collect further evidence. Test the innovation in a realistic setting.
Observability	1. How observable are results?	Provide opportunities for stakeholders to see results in pilot/experimental or demonstration sites.
Relevance	1. Does the innovation address a felt need, persistent problem or policy priority?	Express clearly what needs are addressed. Find ways to better communicate its relevance to policy makers and other stakeholders.
Relative advantage	1. Does the innovation have relative advantage over existing practices? 2. Is it more cost-effective than existing practices or alternatives?	State and communicate its advantage. Establish costs and assess cost-effectiveness.

Attribute	Key questions	If necessary, find ways to:
Ease of transfer/ installation	1. What degree of change from current norms, practices and level of resources is implied in the innovation? 2. What is the level of technical sophistication needed to introduce the innovation?	Simplify/streamline the innovation, but ensure that the essential components are maintained during scale up.
	3. Does the innovation have the potential for creating conflict in the user organization?	Anticipate and minimize such conflict.
	4. Were major additional human or financial resources and commodities needed to introduce the innovation?	Identify where/how such resources can be mobilized through existing channels.
Compatibility	1. Is the innovation compatible with current values or services of the user organization?	Package the innovation in ways that enhance compatibility.
	2. Will it be difficult to maintain the basic values of the innovation as expansion proceeds?	Build indicators into the monitoring system to assess this and plan ahead to actions needed to maintain values.
	3. Will changes in logistics need to be made to accommodate the innovation?	Identify ways which minimize the changes that have to be made.
	4. Which components will need local adaptation to be relevant for changes in local context?	Identify needed local adaptations while ensuring the essence of the innovation remains intact.
Testability	1. Can the user organization test the innovation in stages without fully adopting it?	Expand the innovation incrementally.

Additional guidance

Documentation of the innovation and its impact is essential. It serves to communicate a shared vision when more and more people seek to replicate the innovation. Careful documentation also lays a foundation for advocacy efforts. Without it, scaling up risks becoming a confused process where the central components of the innovation and its contributions are not well understood.

It is important to identify the components of the innovation that are essential for its success. Components that were not central could be omitted during scaling up in order to streamline/simplify the innovation. However, the strategy planning team should be confident that these components were indeed not essential. It may be necessary to test such a simplified model during the initial phase of scaling up. Care should be taken during simplification not to lose attention to principles of human rights, equity and gender perspectives.

Resisting pressure to rapidly scale up the innovation before its effectiveness and feasibility have been fully established is essential. Doing so will avoid the risk of wasting substantial time and resources on the widespread implementation of a well-intended innovation that produces limited or even undesirable outcomes.

Whether the degree of change implied in the innovation is small or large has profound implications for scaling up. When innovations seek to improve equitable access and quality of care to a broadened range of public sector health services, for example, the degree of change implied is very large. A large degree of change means that more resources and effort are needed when the innovation is expanded to benefit more people. In such situations the pace and scope of scaling up typically cannot be as great as when the degree of change is small.

As noted in Table 1.1 under the topic of credibility, when innovations have been tested in a setting and with a level of resources that differ significantly from the settings where they are to be scaled up, additional testing under realistic operating conditions is needed to assess whether and how the innovation can succeed in these contexts. Furthermore, when innovations are found to be overly complex, it is important to consider whether they can be simplified to make scaling up more feasible.

◆ **Reflect on the conclusions that have been reached by analysing the innovation and answer the question: "Is it still appropriate to proceed with plans for scaling up?"**

If yes, then continue with the steps below. However, if the innovation is too complex, costly, labour-intensive or otherwise too difficult for larger scale replication and institutionalization, then stop and consider designing and testing a more feasible innovation.

◆ **Summarize recommended actions resulting from the assessment of scalability of the innovation**

The third column in Table 1.1 suggests considering ways in which the scalability of the innovation can be enhanced. The recommended actions that emerge from the analysis should now be summarized. These actions as well as those from Steps 2 to 8 will be the "raw material" from which the overall scaling-up strategy will be formulated in Step 9.

Step 2. Increasing the capacity of the user organization to implement scaling up
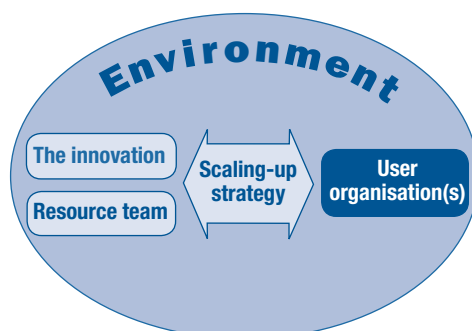
The user organization refers to the institution(s) or organization(s) that seek to or are expected to adopt and implement the innovation.[1]

All user organizations present both strengths and weaknesses—characteristics that can facilitate scaling up and those that can hinder the process. Successful scaling up requires realistic expectations as well as strategies that help to build institutional capacity while expanding an innovation.

User organizations come in many forms—a public sector health organization, an NGO or an alliance of NGOs, a network of private providers or a combination of such institutions.

◆ **Begin by clarifying who is the user organization**

In many instances it will be clear which organization(s) are intended to adopt and implement the innovation–for example when it is the ministry of health and its service system and when the innovation has been tested in the same context. Similarly, innovations may have been tested by a small NGO, but they are intended to be implemented by the ministry of health during scaling up.

However, the task can turn into a challenge when there is no obvious home for the innovation or when several partners are involved and their roles during scaling up are unclear. In these cases it will be essential to identify which organizations should be involved and who will take the lead. The capacity to implement the innovation on a large scale should be the determining factor in this choice.

◆ **Assess the extent to which the user organization has the capacity for large-scale implementation of the innovation**

Successful scaling-up is facilitated when the user organization has the following attributes *(10)*:

▪ members of the user organization **perceive a need** for the innovation and are motivated to implement it;

▪ the user organization has the **appropriate implementation capacity**, decision-making authority, and leadership;

▪ the **timing and circumstances are right**.

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[1] While in some cases there may be multiple organizations which are intended to adopt the innovation, for the sake of clarity hereafter the term will be used in the singular but can encompass all such situations.

Table 2.1 illustrates key questions that should be answered for each of the attributes. The third column states what actions might be needed to strengthen the potential of scaling up the innovation within the user organization. These recommended actions will be the building blocks of the scaling-up strategy. Additional questions related to the user organization can be found in the worksheets *(8)*.

Table 2.1. Illustration of questions related to the user organization and needed action to increase the potential for scaling-up success

Attribute	Key questions	If necessary, find ways to:
Perceived need	1. Is there a perceived need for the innovation? Does the innovation respond to a policy priority? 2. Are there individuals within the organization who are advocates/champions of the innovation?	Strengthen perceived need/motivation through advocacy using both formal and informal channels. Identify and work with advocates/champions for the innovation.

Implementation capacity	1. Does the user organization have capacity in:
	  ▪ technical skills
	  ▪ training
	  ▪ logistics/supplies
	  ▪ supervision
	  ▪ leadership/coordination
	  ▪ monitoring/evaluation
	  ▪ physical facilities and equipment
	  ▪ values supportive of the innovation
	  ▪ human resources
	  ▪ the policy and legal framework necessary to introduce the innovation?
	
	2. Did the pilot project test ways to strengthen the capacity of the user organization?
	
	3. Can the user organization absorb this innovation without negative impact on other programmes and services?
		Begin expansion in areas where capacity is stronger.
		
		Identify opportunities for mobilizing/sharing resources within the user organization.
		
		Advocate for needed policy/legal change.
		
		Identify other ways of building necessary capacities during expansion.
		
		Test capacity strengthening before wide-scale expansion.
		
		How can these negative impacts be reduced or eliminated?

Timing and circumstances	1. Are there impending changes within the user organization that will affect scaling up? 2. Do these changes provide opportunities or constraints?	Adjust the scaling-up strategy to maximize opportunities and minimize constraints arising from these impending changes.

Additional guidance

Expectations for scaling up must take into account the realities of the user organization. Where political leaders are committed to the improvements tested in pilot or experimental projects, and national health systems are strong, replicating the innovation on a large scale will be facilitated. When national leaders give low priority to the health concern and/or health systems are weak, scaling up may be an institutional change task of major proportions, and proponents need to develop creative strategies to build capacity.

Ideally such capacity-building across a range of management tasks is a component of the innovation and ways have been found during the testing to demonstrate how this can be done. If capacity-building has not been tested during the pilot stage, major attention needs to be directed towards it at the stage of developing a scaling-up strategy. Additional testing, focused on building the institutional capacity needed to introduce the innovation may be required. For example, if during scaling up the innovation is found to be weak in the area of supervision, because the pilot had special supervisory inputs, an effort to improve supervision in the routine programme could be tested as part of the initial scaling up.

When the user organization is constrained by limited resources it is tempting to conclude that nothing can be done to scale up the innovation. However, experience shows that even resource constrained systems provide opportunities to mobilize financial and human resources and to benefit from economies of scale. It is helpful to be on the lookout for these opportunities. In addition, it is important to identify champions or policy entrepreneurs who are advocates for change and can inspire others.

When there are several user organizations it is essential to clarify respective roles, responsibilities and ownership. A single organization may achieve greater coherence and possibly quality in scaling up the innovations than if multiple agencies are involved. A broader base of participation, by contrast, can lead to the pooling of resources, greater implementation capacity and wider ownership. However, without effective leadership, collaboration and coordination the involvement of multiple agencies is likely to lead to confusion or inaction.

Sustainable improvements typically cannot be accomplished in a short period of time. A programme rather than a project perspective is required, as well as long-term support, especially when the degree of change implied in the innovation is large.

◆ **Summarize needed actions resulting from the assessment of the user organization's capacity to scale up the innovation**

The third column in Table 2.1 suggests considering ways for improving the attributes of the user organization that would enhance the chances of scaling-up success. Recommended actions should now be summarized. They will be taken up later in Step 9 when the scaling-up strategy is finalized.

Step 3. Assessing the environment and planning actions to increase the potential for scaling-up success

The environment refers to conditions and institutions that are external to the user organization but fundamentally affect the prospects for scaling up.

Understanding the diverse environments within which expansion and institutionalization of innovations must occur helps establish realistic expectations about the pace and scope for scaling up, as well as about other aspects of the strategy. Given that the environment is typically complex, the objectives of initial scaling-up often need to be more limited, at least initially, than what would be ideal.

Environments are constantly changing and conditions often differ from one region in a country to another. Thus environmental assessment has to be an ongoing process and the scaling-up strategy has to be adjusted to changing circumstances (for examples of relevant tools see: *11, 12, 13).*

◆ **Begin by identifying the various environmental sectors of relevance for scaling up**

What are the different environments that will influence the scaling up process? Consider the policy context and political system, the availability of donor support, bureaucratic structure and culture, the health or other relevant governmental sectors, the socioeconomic and cultural context and people's needs and rights.

In assessing environmental sectors, not only formal relations but also informal ones, including political connections, must be considered.

◆ **What can be done to maximize opportunities and to minimize constraints in the environment?**

Table 3.1 illustrates key questions that should be answered for the different environments. The second column states what actions might be needed to maximize opportunities and minimize constraints. The recommended actions will be the building blocks of the scaling-up strategy. Additional questions related to the environment can be found in the worksheets *(8).*

Table 3.1 Illustration of opportunities/constraints and recommended actions related to the environment

Key questions	If necessary, find ways to:
1. Where in each dimension of the environment is there support or opposition for the innovation? Which stakeholders need to be engaged?	Mobilize support and reduce opposition through advocacy with influential individuals, groups or institutions.
2. What informal and political connections can be helpful?	Look for both formal and informal channels.
3. How can champions be recruited? How can opponents be neutralized or co-opted?	Build a network of supporters.
4. Are opportunities or constraints likely to change as scaling up proceeds? Where is there stability and what aspects are most likely to change?	Build flexibility into the scaling-up strategy to accommodate change.
5. Are there related initiatives that could serve to expand the innovation?	Collaborate when and where appropriate.
6. How will the different components of the environment be monitored to keep track of changing circumstances?	Ensure that environmental assessment is an ongoing process and is linked to decision-making.

Additional guidance

Analysing how the environment affects scaling up should draw on multiple sources of evidence, including results of the research to test the innovation, other relevant studies or assessments, professional judgment arising from dialogue with stakeholders and ongoing monitoring/evaluation of the environment.

Collaboration with related initiatives during scaling up may produce important economies of scale. It is therefore helpful to assess whether there are similar initiatives and to explore whether collaboration can advance the cause of scaling up.

Anticipating changes in the environment and their potential impact on scaling up is essential. Some changes, for example electoral cycles, are predictable and should be taken into consideration in scaling-up timetables.

It is helpful to recognize from the outset that variations within a country often require adaptations of the innovation and the scaling-up strategy as the process of expansion proceeds.

◆ Summarize needed actions resulting from the assessment of the environment

Column two in Table 3.1 raises issues intended to ensure that the scaling-up strategy is attuned to the environment and the changes within it. The recommendations should now be clearly stated in summary form so that they can be utilized in the final formulation of the strategy under Step 9.

Step 4. Increasing the capacity of the resource team to support scaling up
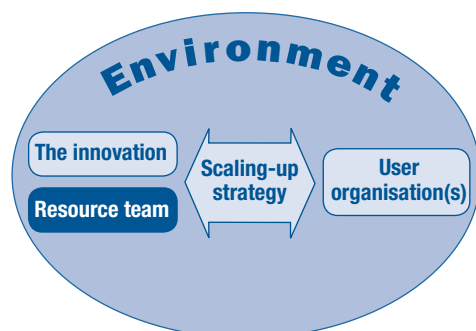
The resource team refers to the individuals and organizations that seek to promote and facilitate wider use of the innovation.

Scaling up is not the same as routine programme implementation. A variety of special technical, managerial, leadership and financial inputs are needed to support it. Helping ensure that these are available is a key task of the resource team, which may or may not be officially appointed to act in this role. A strong resource team with the appropriate skills and sufficient time commitment is a major factor in ensuring the success of scaling up.

◆ **Begin by clarifying who facilitated the development and testing of the innovation. Will these individuals/institutions continue to serve as members of the resource team during scaling up?**

The resource team typically includes key individuals and institutions that have been part of the development and testing of the innovation. They can contribute an in-depth understanding of the strengths and weaknesses of the interventions and the possible challenges involved in scaling up.

However, because scaling up implies different challenges than designing and implementing a pilot, demonstration or experimental project, it is important to ensure that new and additional skills, especially managerial expertise and skills in advocacy, are well represented.

Ideally, at least some members of the user organization were involved in the design and testing of the innovation. In any case, key individuals from the user organization should be included in the resource team when the scaling-up strategy is developed and subsequently implemented. Representatives of the user organization can contribute their knowledge of the key players, capacities and decision-making processes of the user organization and of the broader context. With dual roles as members of both the resource team and the user organization, they are uniquely situated to facilitate scaling up.

The resource team will often consist of two groups—a core group of facilitators who are guided by, or work under the supervision of a technical advisory group consisting of prominent opinion leaders, technical experts or policy makers. Having such a broad group serves two purposes: obtaining technical and political guidance while at the same time securing the support of a critical set of stakeholders from the user organization or other environmental sectors. This illustrates that the resource team, user organization and the environment may overlap to some degree.

◆ **To what extent does the resource team have the attributes required to support scaling up?**

Resource teams are more likely to be successful in attaining scaling-up goals if they have the following characteristics:

- effective and motivated **leaders with a unifying vision** who have authority and credibility with the user organization;
- **understanding** of the political, social and cultural environments within which scaling up takes place;
- the ability to **identify and help generate** financial resources;
- in-depth **understanding of the user organization's capacities and limitations**;
- capacity to **train** members of the user organization;
- capacity to assist the user organization with **management interventions** needed to implement the innovation;
- **ability to advocate in favour of the innovation** with policy-makers, government officials and programme managers;
- skills and **experience with scaling up**;
- **availability** to provide support over a multi-year period.

Table 4.1 illustrates key questions that should be answered for the resource team. The third column states what actions might be needed to enhance the chances that the resource team can best support the scaling-up effort. The recommended actions will be the building blocks of the scaling-up strategy. Additional questions related to the resource team can be found in the worksheets *(8)*.

Table 4.1 Illustration of questions and needed action related to the resource team

Attribute	Key questions	If necessary, find ways to:
Leadership and credibility	Does the team command authority and respect with the user organization?	Include someone in the team who has such credibility; this could be a prominent member of the user organization.
Skills	Are needed skills adequately represented to support: - training - relevant clinical service provision - strategic management - advocacy - human rights and gender perspectives - research, monitoring and evaluation - resource mobilization?	Build these skills over time; mobilize needed support which may exist in the user organization; add members to the team.

Continued

Attribute	Key questions	If necessary, find ways to:
Experience	Does the team have experience with scaling up, advocacy or policy development?	Recruit team members with experience or provide relevant resources and facilitate site visits to projects with successful scaling-up experience.
Size	Is the team large enough given the amount of support, training, advocacy and networking that will be needed?	Increase the size of the team or adjust the pace of scaling up to ensure sufficient support is available.
Resources	Are resources available to support the work of the resource team?	Mobilize funding and adjust the pace and scope of scaling up to ensure the resource team can provide adequate support.
Stability	Are key members of the team likely to continue in this role throughout the scaling-up process?	Find ways to ensure stability within the team.

Additional guidance

When members of the resource team are not part of the user organization, it is important to locate them as closely as possible to the user organization to promote ease of communication and especially the informal contacts and relationships that are critical for success. The more effectively the resource team can interact with the user organization, the easier scaling up will be. When the resource team has close contacts with the user organization and/or multiple "anchors" are in place in a country, effective communication is facilitated. Over time more and more members of the user organization will have become so familiar with implementing the innovation that they become members of the resource team.

It is important to ensure that ownership of the scaling-up process belongs to the user organization and not to the resource team.

Scaling up cannot be accomplished without organizational growth and change in the resource team. For example, advocacy or systems development skills may be less relevant during pilot testing, but are essential during scaling up.

Given the frequency of personnel change at all levels of government, a resource team with continuity ensures sustainability in the face of turnover of key members of the user organization. However, when the innovation has been successfully incorporated into policies, programmes and services, the resource team will have completed its task and its role will come to an end.

◆ Summarize needed actions resulting from the assessment of the resource team's capacity to scale up the innovation

Discussion of column three of Table 4.1 should have produced recommendations that will enhance the capacity of the resource team to facilitate and promote scaling up. The summary of these recommended actions will be used in the final formulation of the strategy under Step 9.

Step 5. Making strategic choices to support vertical scaling up (institutionalization)

Vertical scaling up refers to the policy, political, legal, regulatory, budgetary or other health systems changes needed to institutionalize the innovation at the national or sub-national level.
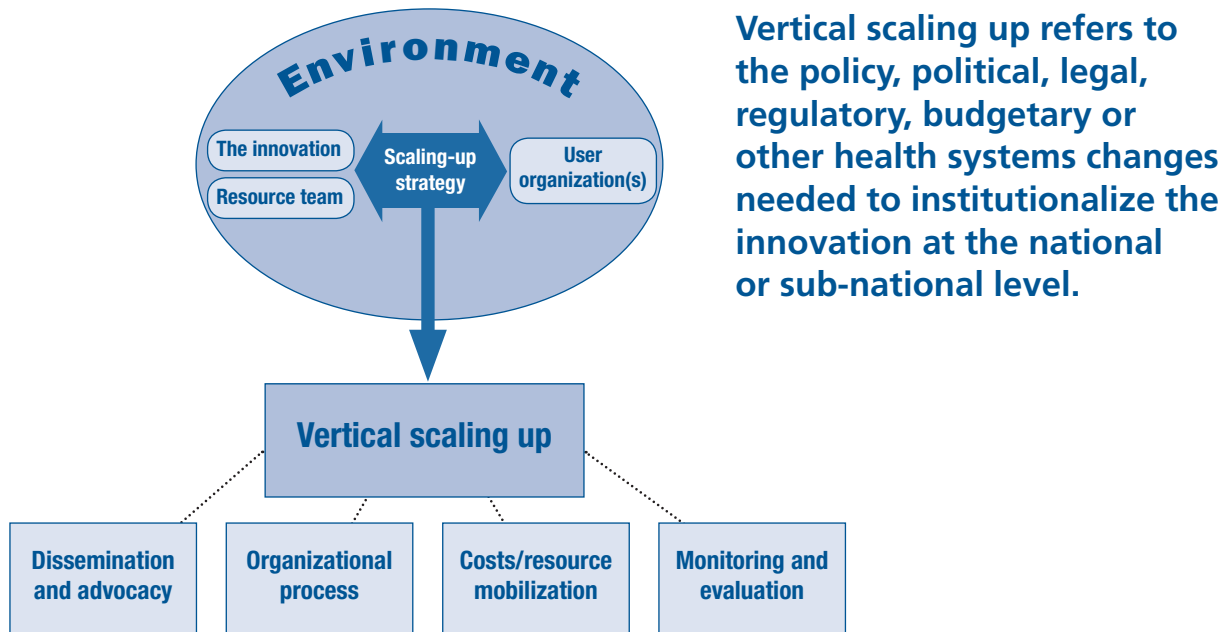
Steps 1, 2 and 4 showed what actions must be taken to ensure that the innovation, the user organization and the resource team have the attributes with the greatest potential for ensuring successful scaling up. Step 3 demonstrated how opportunities in the environment should be maximized for success. Designing a scaling-up strategy also involves making strategic choices about the types of scaling up to be pursued. This and the next three steps address these different types with regard to each of the remaining critical choice areas: dissemination and advocacy; the organizational process; costs/resources; and monitoring and evaluation.

Vertical scaling up calls for an understanding of health policy and related political processes. It also requires knowledge related to health systems planning, budgetary cycles, financing, programme structures, management, human resources, logistics and information needs. This includes under-standing how scaling up could be linked to macro-level development and financing strategies such as Poverty Reduction Strategy Papers (PRSPs), medium-term expenditure frameworks (MTEF), SWAPs (Sector-wide approaches) and other donor-supported funding mechanisms, as well as other ongoing efforts in health-sector reform.

The specific activities that need to be undertaken to institutionalize the innovation through policy, political, legal, regulatory, budgetary or other changes in the health system will vary depending upon the context. For example, if the government has not been involved in the design and testing of the innovation, vertical scaling up must begin with advocacy for adopting the innovation within the national programme.

By contrast, where government is interested in the innovation and its eventual expansion from the time a pilot is designed, vertical scaling up will be easier. It can focus immediately on specific actions needed to incorporate the innovation into the health system at the national or sub-national level.

Likewise, institutionalizing innovations in the NGO or private sector is likely to be less demanding and complex than in the public sector, as they are less subject to formal political control and the intricate bureaucratic procedures of the public sector.

When innovations have been tested within an NGO and are expected to be scaled up within the NGO sector, interactions with government and the larger policy system will be more limited, but cannot be ignored. However, when an innovation has been piloted within an NGO but is to be scaled up within the public sector, integrating it into policies, norms and programme procedures will most likely be challenging.

◆ **Begin by clarifying the policy, legal, political, regulatory, budgetary and other health systems changes needed to ensure the innovation will be institutionalized. Use Table 5.1 as a discussion and recording aid**

Table 5.1 Changes needed to institutionalize the innovation

Category of change	Change needed (yes/no/ unknown)	Describe specific changes needed or how need should be assessed
Policy		
Political commitment		
Legal change		
Regulations, norms and guidelines		
Financing and budgets		
Logistics		
Management information systems		
Supervision		
Staff evaluation, performance incentives		
Training curricula and approaches		
Health workforce changes		
IEC materials		
Other		

Table 5.2 illustrates key questions that should be answered for the changes that are essential and suggests what actions might be needed to enhance the prospects that vertical scaling up takes place. The recommended actions will be the building blocks of the scaling-up strategy. Additional questions related to vertical scaling up can be found in the worksheets *(8)*.

Table 5.2 Illustration of strategic choices and recommended actions related to vertical scaling up

Strategic choice area	Key questions	If necessary find ways to:
Dissemination/ advocacy	1. What are appropriate approaches to advocate for the needed changes? 2. What formal and informal advocacy channels could be used? 3. How can a broad sense of ownership be created so that the innovation will be viewed as part of routine programme operations?	Use multiple channels for advocacy such as: ▪ policy briefs for decision makers ▪ dissemination meetings for key stakeholders ▪ personal advocacy ▪ political influence ▪ input into national policy and budgetary processes, including PRSPs and SWAPs. Use visits to demonstration sites to convince stakeholders, including relevant political leaders, of the value of the innovation.
Organizational process	1. Who will be responsible for organizing the process of making the changes? 2. What technical support will be needed for the required changes and how can such support be mobilized? 3. Through what processes can the various changes be initiated? 4. How can support for the innovation be linked to national health plans and health reform processes? 5. In what time periods should the changes be undertaken?	Ensure that the resource team has members experienced and capable of facilitating the changes. Assess needs for technical support, identify ways to build national capacity. Advocate for changes in decision-making forums such as national, sub-national or local planning meetings. Link activities to health plans and ongoing health reform efforts. Prioritize and establish time targets.
Costs/ resource mobilization	1. Are resources for dissemination/ advocacy and related costs of the necessary changes available? 2. How can budgetary processes be influenced and how can costs of required changes be inserted in national health budgets?	Include resource needs for advocacy activities and personnel in project proposals. Engage with national budgetary processes.
Monitoring and evaluation	1. How will vertical scaling up be monitored and evaluated? 2. What are appropriate indicators?	Create simple ways of tracking activities and accomplishments related to vertical scaling up and assess what else is needed. Use results from monitoring and evaluation to adjust the strategy as scaling up proceeds.

Additional guidance

Do not underestimate the importance of and time required for vertical scaling up. When the government has initiated or strongly endorsed the testing of the innovation, there may be considerable openness and political commitment for making the necessary policy, legal and health systems changes.
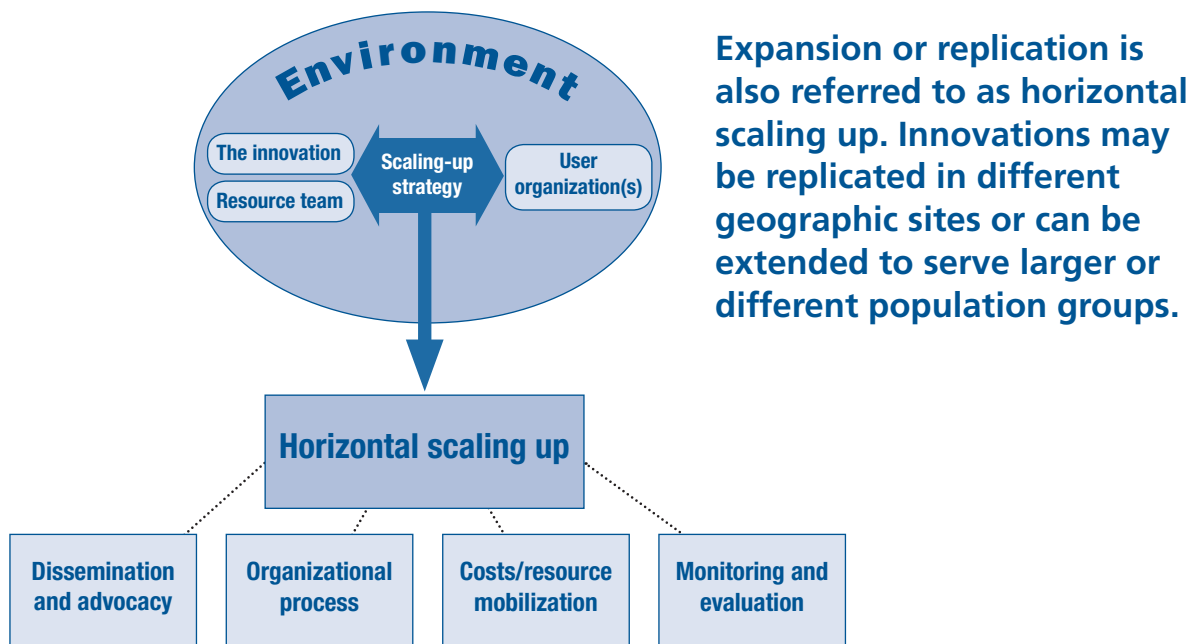
When such national or sub-national policy and political support is not available, effort needs to be put into building coalitions that can generate such support. In these cases vertical scaling up may be the greatest challenge faced by the resource team. However, any progress that can be attained is extremely valuable because without the required policy, legal and health systems changes, innovations cannot be successfully and sustainably expanded.

In contrast to horizontal scaling up where rapid expansion can lead to problems, rapid institutionalization and other forms of vertical scaling up are desirable.

◆ **Summarize needed actions resulting from the assessment of vertical scaling up**

Discussion of column three of Table 5.1 should have produced a broad range of actions that should be undertaken. Recommended actions that emerge from the analysis should now be summarized so that they can be utilized in the final formulation of the strategy under Step 9.

Step 6. Making strategic choices to support horizontal scaling up (expansion/replication)

Expansion or replication is also referred to as horizontal scaling up. Innovations may be replicated in different geographic sites or can be extended to serve larger or different population groups.

Expansion of innovations requires making strategic choices about how the innovation will be disseminated to new areas or to different population groups, how expansion is to be organized, how resources will be mobilized and how the process, outcomes and impacts will be monitored and evaluated. These choices have to be made in ways that include consideration of all elements of the scaling-up system.

Successful scaling up rarely involves a mechanical repetition of innovations. Rather, it means adapting the process of expansion to suit the different environmental contexts within a country or sub-region.

Table 6.1 illustrates key questions that should be answered about horizontal scaling up. The third column states what actions might be needed to enhance the prospects that the innovation can be successfully expanded. Additional questions related to horizontal scaling up can be found in the worksheets *(8)*.

Table 6.1 Strategic choices and recommended actions related to horizontal scaling up (expansion/replication)

Strategic choice area	Key questions	If necessary find ways to:
Dissemination and advocacy	1. What political, personal, or other informal channels and relationships can be used to convince new areas (districts, municipalities etc.) to introduce the innovation?	Identify key decision makers who will be instrumental in allowing expansion to move forward and find ways to effectively engage them.
	2. How will the innovation be communicated/transferred (training, technical assistance, peer to peer approaches, IEC materials, mass media, reports, policy briefs)?	Gain experience in a few new sites with dissemination approaches prior to broader expansion.
	3. Is communication about key aspects of the innovation appropriately tailored and presented to different audiences and conveyed in clear and concise messages?	Revise the way the innovation is communicated and presented when needed.
Organizational process	1. How many sites are expected to adopt the innovation?	Evaluate expectations about the scope and pace of scaling up and establish targets in light of the nature of the innovation, the strengths/capacities of the resource team, the user organization and the opportunities/constraints in the environment.
	2. What is the time period during which expansion will take place? Will implementation be phased or rapid?	
	3. What are feasible short term expectations, what are mid-term expectations and what are long-term goals?	
	4. Are there major differences among sites? If so, what adaptations to the innovation are needed?	Adapt the different components of the innovation to the needs of the different sites.
	5. Will new partners be brought in to support or implement scaling up?	Establish effective coordination strategies among new partners.
	6. Will the approach be participatory?	Involve key stakeholders including community members, while at the same time avoiding an overly inclusive process.

Strategic choice area	Key questions	If necessary find ways to:
Costs/ resource mobilization	1. Will the costs of expansion be the same for each new area? 2. Are economies of scale possible? 3. Can expansion be more efficiently organized? 4. Are resources for expansion available or do they need to be mobilized? If so, how?	Assess costs of implementing the innovation. Partner with other relevant initiatives to reduce costs. Link the innovation to SWAPs and other macro-level development and financing strategies.
Monitoring and evaluation	1. How will the process, outcomes and impact of moving to scale be monitored and evaluated? 2. Are the innovations continuing to have the intended outcomes and impacts that were demonstrated in the pilot?	Decide relevant indicators to monitor. Use existing service statistics for monitoring to the extent that they can provide relevant and reliable information. Create simple procedures for tracking the process of expansion. Conduct rapid qualitative studies to gain insight into the process and barriers of expansion. Conduct special studies to evaluate outcomes/impact as needed. Use results from monitoring and evaluation to adjust the strategy as scaling up proceeds.

Additional guidance

Expansion (horizontal scaling up) is typically insufficient to ensure that an innovation is fully integrated into the user organization. To be sustainable, scaling up needs to address both horizontal and vertical scaling up (see Step 5).

Beginning the process of expansion in areas where there are points of strength, in terms of leadership or other dimensions of organizational capacity, can be an advantage. Once multiple examples of success are available, they can serve as models and build momentum for further expansion.

Rapid expansion can often result in a loss of essential components of the innovation. Those lost are often the components most different from prevailing practices and most difficult to implement, for example interventions to promote quality of care or values such as equity and gender perspectives. A more gradual, phased process allows learning about how sustainable expansion of all aspects of the innovation can be attained. It is therefore advisable to resist bureaucratic or political pressures for overly rapid expansion.

It is helpful to use multiple channels to tell a compelling story. Publications and other dissemination materials have an important role, but alone do not lead to sustainable scaling up. Face-to-face contacts, reinforced by a variety of impersonal channels, are critical in an effective dissemination approach.

Creating opportunities for ongoing learning in the process of scaling up is helpful. In addition to training workshops, such learning and networking tools as newsletters, the use of electronic media and site visits for peer-to-peer exchanges could be utilized. Visits to demonstration sites where the innovation has been in place for some time are an important way for providers, managers and policy-makers to appreciate the benefits of the innovation.

Training strategies should prepare managers, providers and communities for a broad range of scaling up tasks and not only provide technical knowledge and skills. Approaches appropriate during the pilot often need to be modified as training is integrated in existing training mechanisms. If approaches to training change during scaling up (for example from training by expert trainers to cascade approaches or from on-site to off-site training), such changes need evaluation to ensure that results remain the same.

Participatory approaches involving all levels of the health system, including members of the community are valuable. They mobilize a broader range of support for the scaling-up process, increase the likelihood that local needs are addressed, contribute to community empowerment and foster ownership of the innovation. At the same time it is important to exercise good judgment in terms of what is appropriate ownership. Being overly inclusive is both unnecessary and inefficient.

Some donor support is typically needed until implementation of the innovation becomes a standard practice and its costs are absorbed in national and local budgets. Linking the innovation to macro-level funding mechanisms such as PRSPs and identifying existing sources of support at the national or district level are critical if the innovation is to achieve sustainability.

Existing systems of monitoring and evaluation are rarely capable of providing the information needed to assess the process of scaling up and to monitor performance. Special approaches to data collection are required to allow the user organization and the resource team to monitor whether the process of expansion is progressing according to plans, and if not, to identify possible causes and necessary remedial action.
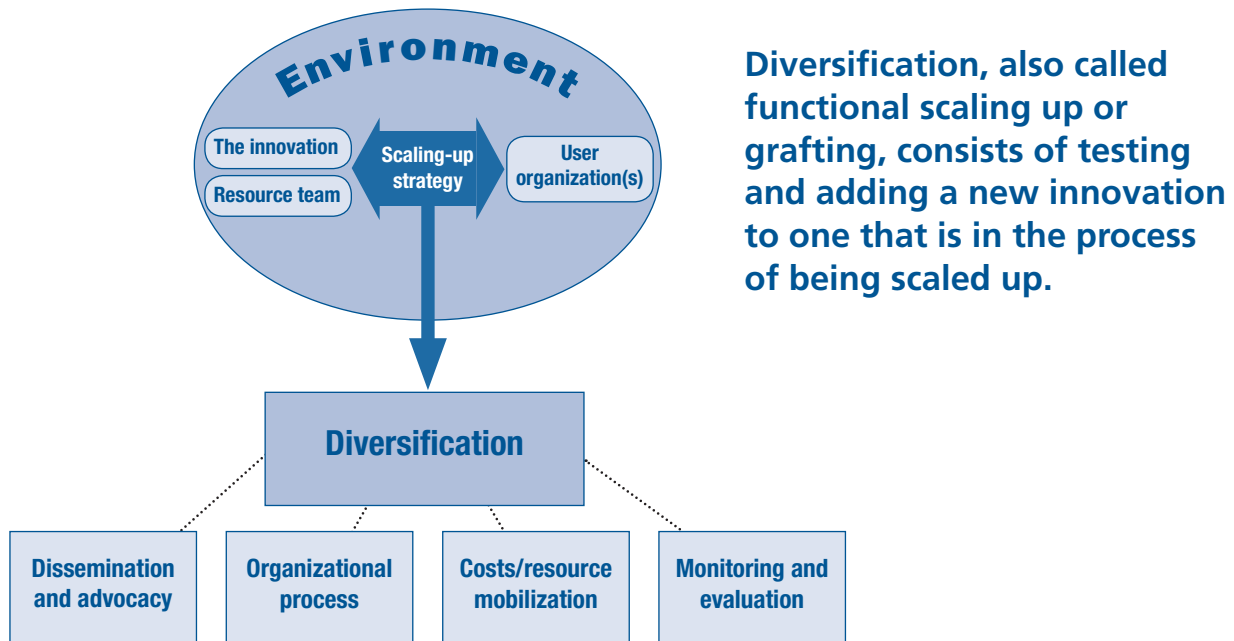
In addition to the process of scaling up, outcomes and impacts must be evaluated because the quality with which innovations are implemented during scaling up typically declines, particularly when scaling up is rapid, and this may substantially reduce the desired outcomes and impacts.

Results from monitoring and evaluation should be utilized to adapt the scaling-up strategy.

◆ Summarize needed actions resulting from the assessment of horizontal scaling up

Answering the key questions raised in Table 6.1 is likely to have led to a broad range of actions that need to be undertaken. The summary list of these recommended actions will be reviewed under Step 9 as part of the final strategy formulation exercise.

Step 7. Determining the role of diversification

Diversification, also called functional scaling up or grafting, consists of testing and adding a new innovation to one that is in the process of being scaled up.

An example of diversification is adding a component for adolescents during the process of scaling up an innovation to strengthen services for women. Diversification is typically pursued when new needs are identified during the course of scaling up, and interventions to address them are tested and incorporated into the original innovation.

If a new innovation is to be added to one that is currently being scaled up, it will be necessary to proceed through Steps 1–6 applying the questions and considerations to this added set of interventions. Consider whether anything about the newly added innovation adversely affects or builds upon the existing one. Exploit the benefits and minimize negative implications.

Adding a new innovation to an existing package of interventions that is being expanded adds to the burden of scaling up. It is important to ensure sound implementation of the original innovation before adding new ones or to be certain that the user organization and the resource team have the capacity to proceed successfully with an expanded set of tasks.

◆ **Summarize needed actions resulting from diversification**

If no diversification of the innovation is planned, there will be nothing that needs summarizing at this stage in strategy development. However, when such plans arise in the course of scaling up, the strategy planning team needs to take this added component through each of the first six steps (related to the innovation, the user organization, the environment, the resource team and the strategic choices for vertical and horizontal scaling up) so that the strategy can be adjusted and the action steps that emerge from reviewing the added innovative component become completely integrated into it.

Step 8. Planning actions to address spontaneous scaling up

Spontaneous scaling up refers to diffusion of the innovation without deliberate guidance.
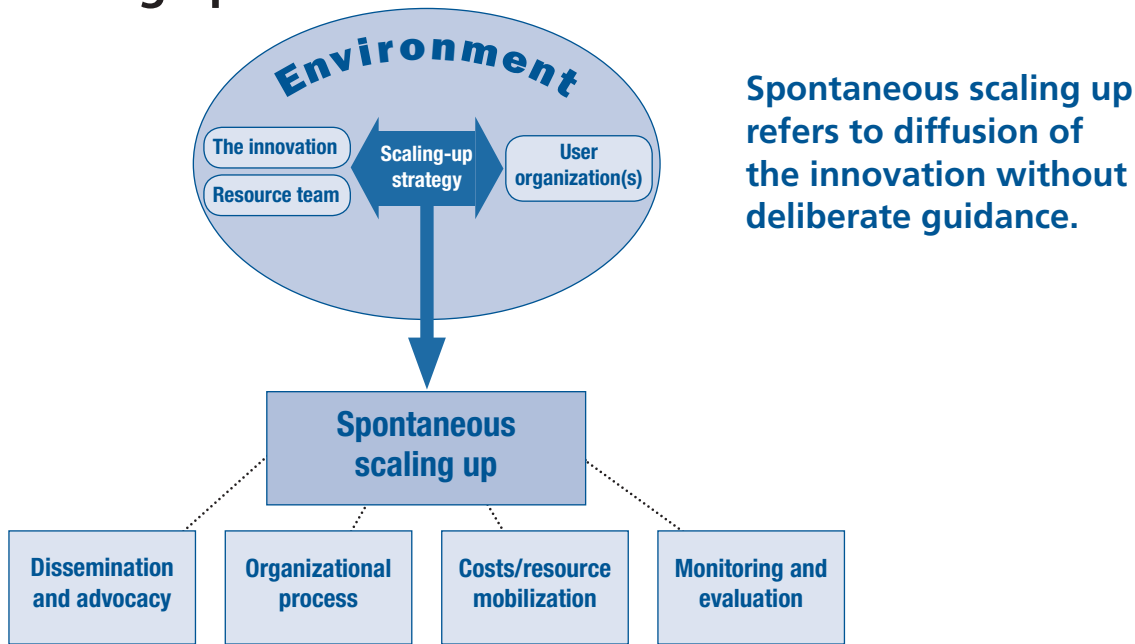
Spontaneous scaling up may occur from individual to individual, community to community or from one service setting to another. Spontaneous scaling up is most likely to occur when the innovation addresses a clearly felt need or when a key event draws attention to a need. Important lessons can be learnt from spontaneous scaling up that can make the guided process more efficient and effective. It may also be essential to influence spontaneous scaling up to ensure that the central components of the innovation remain intact. Ultimately spontaneous expansion of the innovation is desirable, provided that it is working well and quality of implementation remains adequate.

However, spontaneous scaling up may lead to situations where the innovation is incompletely replicated and therefore does not yield the same results. Such situations may threaten the credibility of the innovation. It is advisable to take advantage of and learn from spontaneous scaling up. This requires collecting evidence about whether spontaneous scaling up is taking place and if so, where and why it is occurring and how desired outcomes are affected.

◆ **Begin by assessing what, if any, spontaneous scaling up is occurring. If there is spontaneous scaling up, address the issues identified in Table 8.1**

Table 8.1 illustrates key questions that should be answered regarding spontaneous scaling up. The third column asks what actions are needed to learn from spontaneous scaling up or to mitigate possible negative effects. The recommended actions will be the building blocks of the scaling-up strategy. The questions and recommended actions listed are illustrative. Additional questions related to spontaneous scaling up can be found in the worksheets *(8)*.

Table 8.1 Strategic choices and recommended actions related to spontaneous scaling up

Strategic choice area	Key questions to be asked if there is evidence that spontaneous scaling up is taking place	If necessary, find ways to:
Dissemination	1. How is the innovation spontaneously disseminated? 2. Are all the components of the innovation being scaled-up or only some aspects of it? 3. Can spontaneous diffusion of the innovation potentially replace the process of guided scaling up?	Use lessons learned for the guided process of dissemination. Influence spontaneous scaling up so that essential components of the innovation are incorporated. Make resource materials available and take other action to facilitate spontaneous scaling up.
Organizational process	1. What are the pace and scope of spontaneous scaling up, and how are the human resource and other managerial issues of expansion addressed?	Use lessons learned to improve the guided process of scaling up.
Cost/resource mobilization	1. How are the costs of scaling up absorbed when the innovation is spontaneously scaled up?	Use lessons learned to institute cost-saving mechanisms in the guided process of scaling up.
Monitoring and evaluation	1. Should spontaneous scaling up be further evaluated? 2. Who should be responsible for monitoring and evaluation?	Establish indicators and evaluation procedures that provide evidence related to spontaneous scaling up.

◆ **Summarize needed actions related to spontaneous scaling up**

The actions suggested in discussion of column three of Table 8.1 will be an important component of the final step in the formulation of a scaling-up strategy, which will be undertaken next.

Step 9. Finalizing the scaling-up strategy and identifying next steps

Strategic planning of scaling up requires consistent attention to creating an appropriate relationship or balance among the elements of the scaling-up system. A narrow focus on a single element or strategic choice will not yield success. Creating a strategy requires ingenuity and the vision of what is most important in a given setting; it is more than just summing up the various recommendations identified under Steps 1–8. The sum total of these steps is likely to be more than what can be accomplished in a short period of time. Decisions will have to be made about what is most important in the near future, what actions can wait, and what would be ideal but cannot be accomplished.

When the planning process is undertaken by a large group of stakeholders it is unlikely that Step 9 can be completed at the time of the workshop. It is suggested that a smaller group finish the task but share the outcome with those who participated in the planning process.

◆ **Proceed as follows to finalize the scaling-up strategy**

1. Review the summary of the recommended actions identified under each of the strategy development Steps 1–8 and consider once again whether they are appropriate in light of the overall context within which scaling up has to proceed. Make revisions as necessary, and identify what priority should be attached to each recommended action. In the course of doing this exercise, recommendations that cannot be acted upon should be left out.

2. Present recommendations in a table which identifies broad categories of action, specific recommendations as well as the priority attached to each. Table 9.1 provides an illustration of such a table. Where appropriate, prepare a longer document with more detailed justification of recommended actions.

3. Once the broad outlines of the scaling-up strategy have been formulated, more detailed operational planning is needed. Operational plans should elaborate the detailed activities to be undertaken and indicate who has responsibility for what part within what period of time. If multiple partners are involved in the implementation, operational planning at the level of each of the partner agencies will be necessary.

Table 9.1 presents an illustration of the key components of a scaling-up strategy that emerge from the step-by-step process outlined in this guide. The table represents a hypothetical case and does not cover the multiple actions that have to be undertaken. The list of recommendations that are likely to be necessary in a specific situation is often much longer than what is presented here.

Table 9.1 Components of a scaling-up strategy – an illustration

Broad category	Recommendations	Degree of priority
Enhance the credibility of the innovation	Bring district managers and other stakeholders to the pilot site.	Medium
	Test innovation in settings that differ from the pilot site to assess the feasibility of large-scale expansion within the routine programme.	High
Streamline/simplify the innovation	Hold meetings with key stakeholders to determine what constitutes the essence of the innovation and whether it can be simplified to facilitate expansion.	High
Work with strengths in the user organization	Plan initial expansion in areas where there are champions in the user organization.	High
Address environmental constraints	Organize workshops for religious leaders to address their concerns about the innovation.	High
Strengthen the resource team	Add someone with strong advocacy skills to the team.	High
	Add more trainers with skills in organization development.	Medium
Advocate for policy commitment supportive of the innovation	Engage with the ongoing health sector reform process to gain donor and government commitment for the innovation.	High
Pace of expansion	Introduce the innovation into lead districts that can act as demonstration sites before broader expansion.	High
	Develop a timetable for broader expansion.	Medium
Involve new partners	Seek support and commitment from agencies working in areas where the innovation is being expanded.	High
Costs/resource mobilization	Collaborate with similar initiatives and benefit from economies of scale.	Medium
	Identify costs of replication.	High
Dissemination and supervision	Finalize training modules and develop a timetable for the training of trainers in the government programme.	High
	Integrate oversight of the innovation into supervisory schedules.	High
Diversification	Explore possibility of pilot testing an added component to the innovation	Low
Spontaneous scaling up	Conduct a focus group study to assess whether and how the innovation is spreading from individual to individual and one service setting to another	Medium
Logistics	Advocate with funding agencies to ensure consistent availability of logistics.	High
Monitoring and evaluation	Create a simple monitoring system that supplements the existing service statistics during scaling up.	High

Conclusion

A plan, no matter how strategic, is only a plan. The success of scaling up depends on actual implementation. But a good plan can guide the implementation process in the right direction and thereby make success more likely.

The scaling-up strategy developed through the nine-step process outlined in this document should not be considered static. It will and should change as soon as implementation is underway and activities are adapted to fit the needs of the local situation or changing circumstances. Scaling up is a learning process, and changing the strategic plan as learning proceeds is constructive and necessary. Moreover, learning requires systematic use of evidence. This is why it is essential that data from monitoring and evaluation are linked to decision-making.

We have argued that plans for scaling up have to consider a broad range of factors and balance what is desirable with what is feasible. Such strategic thinking has to continue as the process moves from planning to the management of scaling up. Finally, the four essential principles of the ExpandNet framework–systems thinking, a focus on sustainability, understanding the determinants of scaling-up success and, above all, a commitment to rights-based approaches and quality of care–must be maintained throughout.

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